

# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

## UTILITY PATENT APPLICATION TRANSMITTAL

For new nonprovisional applications under  
37 C.F.R. 1.53(b))

Attorney Docket No.

WHI91-09FXA

First Named Inventor or  
Application Identifier

Herbert Y. Lin

Express Mail Label No.

EL192651127US

TGF-Beta Type Receptor cDNAs Encoded Products and Uses Therefor

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)

6. ☐ Microfiche Computer Program (Appendix)

2. ☒ Specification [Total Pages 42]  
(preferred arrangement set forth below)

7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to microfiche Appendix
- Background of the Invention
- Summary of the Invention
- Brief Description of the Drawings
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

a. ☐ Computer Readable Copy

b. ☐ Paper Copy (identical to computer copy)

c. ☐ Statement verifying identity of above copies

☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]

☒ Oath or Declaration/POA [Total Pages 3]

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 C.F.R. 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[NOTE Box 5 below]

i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy  
of the oath or declaration is supplied under Box 4b, is considered  
as being part of the disclosure of the accompanying application  
and is hereby incorporated by reference therein.

### ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & documents)

9. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503) (2)  
(Should be specifically itemized)

14. ☐ Small Entity Statement filed in prior application,  
Statement(s) Status still proper and desired

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☒ Other: Preliminary Amendment

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08 / 446,939

Prior application information: Examiner: D. Fitzgerald Group Art Unit: 1646

### 18. CORRESPONDENCE ADDRESS

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Anne J. Collins

Date

October 30, 1998

Submitted by  
Typed or Printed Name

Anne J. Collins

Reg. Number

40,564

# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

<b>FEE TRANSMITTAL FOR PATENT APPLICATIONS</b>	Attorney Docket Number	WHI91-09FXA
	Application Number	
	First Named Inventor	Herbert Y. Lin

CLAIM CALCULATION (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	16 - 20* =	0	x \$ 22 =	\$ 0
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	8 - 3** =	5	x \$ 82 =	\$ 410.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ \$ 270 =	\$
				BASIC FEE (37 CFR 1.16(a))	\$ 790
				Total of above Calculations =	\$ 1200.00
	Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =				\$
	TOTAL =				\$
	Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) =				\$
	Petition for Extension of Time Fee (37 C.F.R. 1.17) =				\$
	Assignment Recordation Fee = (only when filed with application)				\$
	TOTAL =				\$ 1200.00

\* Reissue claims in excess of 20 and over original patent.  
 \*\* Reissue independent claims over original patent.

1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$ 1200.00 ☐ Please charge \$ \_\_\_\_\_ to Deposit Account No. 08-0380.

4. ☐ Other: \_\_\_\_\_

Signature	<i>Anne J. Collins</i>	Date	<i>October 30, 1998</i>
Submitted by Typed or Printed Name	Anne J. Collins	Reg. Number	40,564

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Herbert Y. Lin, Xiao-Fan Wang, Robert A. Weinberg and Harvey F. Lodish

This is a Continuation Application of:

Application No.: 08/446,939

Group: 1646

Filed:

Title: TGF- $\beta$  Type Receptor c DNAs Encoded Products and Uses Thereforjc551 U.S. PTO  
09/183543  
10/30/98Date: 10-30-98EXPRESS MAIL LABEL NO. EL1926511 2745

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

Transmitted herewith is a Preliminary Amendment for filing in the above-identified application.

[ ] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by a verified statement previously submitted.

[ ] A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27 is enclosed.

The fee has been calculated as shown below:

(COL. 1)	(COL. 2)	(COL. 3)	(COL. 4)	(COL. 5)
	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA
TOTAL	16	MINUS	* 20	0
INDEP	8	MINUS	** 3	5
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				

\* not fewer than 20

\*\* not fewer than 3

## SMALL ENTITY

	RATE	ADDIT. FEE
X	\$11	\$
X	\$41	\$
+	\$135	\$

TOTAL = \$ 0OTHER THAN  
SMALL ENTITY

	RATE	ADDIT. FEE
X	\$22	\$ 0
X	\$82	\$ 410
+	\$270	\$

TOTAL = \$ 410

Please charge Deposit Account No. 08-0380 for the following fees:

<input type="checkbox"/>	Petition for [ ] month Extension of Time	\$	
<input type="checkbox"/>	Amendment Fee	\$	
<input type="checkbox"/>	Other Fees:		
		\$	
		\$	
		\$	
	TOTAL:	\$	0

A check is enclosed in payment of the following fees:

<input type="checkbox"/>	Petition for [ ] month Extension of Time	\$	
<input checked="" type="checkbox"/>	Amendment Fee	\$	410
<input type="checkbox"/>	Other Fees:		
		\$	
		\$	
		\$	
	TOTAL:	\$	410

☒ A general authorization is hereby granted to charge Deposit Account No. 08-0380 for any fees required under 37 C.F.R. 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Anne J. Collins  
Anne J. Collins  
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Dated: October 30, 1998